PTO/SB/08A (08-03) Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwon Estruction put 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet 1

### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known		
Application Number	10/796,830	
Filing Date	March 9, 2004	
First Named Inventor	Roger Buelow et al.	
Art Unit		
Examiner Name		
Attorney Docket Number	2506	

		<u></u>		DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-OD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
<i></i>	<del>                                     </del>	Number-Kind Code <sup>2 (# Incum)</sup>		<del>                                     </del>	1 192100 7 4 7 0001
TIK	1	<sup>US-</sup> 5,982,969	11/09/1999	Sugiyama et al.	
BR	2	<sup>US-</sup> 5,307,245	04/26/1994	Myers et al.	
		US-			
-		US-			
		US-			
	<u> </u>	US-			
		US-		·	
		US-			
		US-			
		US- ,			<u> </u>
		US-			
		US-			~
		US-			

	FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	Γ	
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>6</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	₹°	
./							
/							

Examiner Signature	J.J. Rube	Date Considered	3/4/6

\*EXAMINER: initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). \*See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. \*Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \*For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \*\*Nind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. \*Applicant is to place a check mark here if English tanguage Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application from to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (08-03)

Approved for use through 07/31/2006. OMB 0551-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

The required to respond to a collection of information unless it contains a valid OMB control number.

Under the Paperwork Reduction Actor 1995, no persons in	required to respond to a consecutive	Complete if Known
Substitute for form 1449/PTO	Application Number	10/796,830
INFORMATION DISCLOSURE	Filing Date	March 9, 2004
STATEMENT BY APPLICANT	First Named Inventor	Roger Buelow et al.
STATEMENT DITTO	Art Unit	
(Use as many sheets as necessary)	Examiner Name	
Sheet 2 of 2	Attorney Docket Number	2506

			1
		NON PATENT LITERATURE DOCUMENTS	
Examiner	Cite		T <sup>2</sup>
Initials*	No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appendix) the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s); publisher, city and/or country where published.	'
		numbers): http://diamon.com/	on last
11		2 pages entitled "Uniglo Backlighting" from <a href="http://www.poly-optical.com/uniglo.html">http://www.poly-optical.com/uniglo.html</a> webpage (what is a page of the page	en last
am	3	2 pages entitled "Uniglo Backlighting" from <a href="http://www.poly-optical.com/uniglo.nim">http://www.poly-optical.com/uniglo.nim</a> was prior and viewed on 05/02/04) showing uniform extraction of light from a light guide - admitted as prior and viewed on 05/02/04) showing uniform extraction of light from a light guide - admitted as prior and viewed on 05/02/04).	
		viewed on 05/02/04) showing comments	l) l
1 Am		2 pages entitled "Design of Luxaura Light Guide" from <a href="http://www.luxaura.com/tech.shtml">http://www.luxaura.com/tech.shtml</a> webs	age (with
SIK	4	2 pages entitled "Design of Luxaura Light Guide" from http://www.isaadra.com.class viewed on 05/02/04) showing emitting light in a radial swath – admitted as prior art.	
	┼		
			1 1
•			
		•	1 1
1	Ì		
	L		
		·	1 1
1		·	
	↓	'	
1	Ì		
i			-
	+		
1	1		
ł	1		
	1		l
1			
1			
ľ		·	Į.
1	1		
L			

Everyinar 10 Ma	Date	3/4/6.
Examiner	Considered	
Signature	ince with MPEP 609. Draw line through o	tation if not in conformance and not

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English tanguage Translation is attached.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English tanguage Translation is attached.

1 This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO This collection is estimated to take 2 hours to complete, including to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including to process) an application is required to take 2 hours to complete, including to process, an application is required to take 2 hours to complete the following the complete depole of the public which is to file (and by the USPTO This collection is estimated to take 2 hours to complete, including to process, an application is attached. Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08A (08-03)

Approved for use through 07/31/2008. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

Sheet 1

THAT & THATEM

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

of [3

Complete if Known		
Application Number	10/796,830	
Filing Date	03/09/2004	
First Named Inventor	Roger F. Buelow II	
Art Unit	2874	
Examiner Name		
Attorney Docket Number	2506	

U. S. PATENT DOCUMENTS Name of Patentee or Pages, Columns, Lines, Where Examine **Document Number** Publication Date MM-DD-YYYY Applicant of Cited Document Relevant Passages or Relevant Initials\* No. Figures Appear Number-Kind Code<sup>2 (7 known)</sup> <sup>US-</sup> 3,497,981 03-03-1970 G. H. Tyne <sup>US-</sup> 3,535,018 A. J. Vasilatos 2 10-20-1970 US-4,585,298 04-29-1986 3 Mori <sup>US-</sup> 4,765,701 08-23-1988 Cheslak 4 <sup>US-</sup> 5.036,435 07-30-1991 Tokuda et al. 5 06-29-1993 Hed <sup>US-</sup> 5,222,795 6 01-12-1999 Abe et al. 7 US- 5,857,761 US- 5,987,199 11-16-1999 Zarian et al. 8 US- 6,039,553 03-21-2000 Lundin et al. 9 US- 6.095.673 08-01-2000 Goto et al. 10 US- 6,169,836 B1 01-02-2001 Sugiyama et al. 11 US- 6,215,947 B1 Abramowicz et al. 04-10-2001 12 08-21-2001 Sugiyama et al. US- 6,278,827 B1 13 07-16-2002 US-6,419,383 B1 Lundin 14 US-6,488,397 B1 12-03-2002 Masutani et al. 15 05-13-2003 US-6,563,993 B1 Imamura et al. 16 US- 6,577,794 B1 Currie et al. 17 06-10-2003 Hata 18 US- 6,597,834 B1 07-22-2003 US- 6,637,924 B2 10-28-2003 Pelka et al.

		FOREIG	N PATENT DOCU	MENTS		
Examiner Initials*	Cite No.	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (# known)	MM-DD-YYYY		Or Relevant Figures Appear	Τ°
7						
/						
7						
<i></i>						

Examiner Signature	II Role	·	Date Considered	3/4	16

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>3</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>4</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08A (08-03)

JAN 1 4 2005

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

### INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known		
Application Number	10/796,830	
Filing Date	03/09/2004	
First Named Inventor	Roger F. Buelow II	
Art Unit	2874	-
Examiner Name		
Attorney Docket Number	2506	

				DOCUMENTS	L. B Calumna I Inan Miham
Examiner Initials*	Cite No.1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2 (F Introde)</sup>		rigures Appear	
M	20	<sup>US-</sup> 2002/0159741 A1	10-31-2002	Graves et al.	
		US-			
		US-		·	
		US-			•
		US-			
-	<u> </u>	US-			
	<b>†</b>	ปร-			

FOREIGN PATENT DOCUMENTS						
			Publication	Name of Patentee or Applicant of Cited Document	Pages, Columns, Unes, Where Relevant Passages	
			Or Relevant Figures Appear	ľ		
/		•				
					·	
						L
7						
7						L

Examiner Signature	J2 Rule	Date Considered 3/4/6

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 'Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

PTO/SB/08B (08-03)

Approved for use through 07/31/2005. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

EMAN.		fuction A	ct of 1995, no persons ar	e required to respond to a collection of information unless it contains a valid OMB control number.  Complete if Known		
Subsulu	te for form 1449/PTO			Application Number	10/796,830	
INF	ORMATION	DIS	CLOSURE	Filing Date	03/09/2004	
STA	TEMENT E	BY A	PPLICANT	First Named Inventor	Roger F. Buelow II	
	Ales es many sh			Art Unit	2874	
(Use as many sheets as necessary) .				Examiner Name		
Sheet	3	of	3	Attorney Docket Number	2506	

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
MR	21	Photograph of light pipe shown at the following two exhibitions:	
	21	(1) Defense Advanced Research Projects Agency (DARPA), attended by military and miltary contractors,	
>	21	March 9-11, 2004 (DARPA)	
M	21	(2) Light Fair, Las Vegas, Nevada, attended by the public, March 31 - April 2, 2004.	
		·	

Examiner	M	Date	2/14//
Signature	Tet Kindle	Considered	3/9/6

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of Information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

JUH 2 7 2005

Sheet 1

PTO/SB/08A (08-03)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of Information unless it contains a valid OMB control number.

PACTIONS Stute for form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known				
Application Number	10/796,830			
Filing Date	March 9, 2004			
First Named Inventor	Roger F. Buelow II			
Art Unit	2874			
Examiner Name				
Attorney Docket Number	2506			

			U. S. PATEN	DOCUMENTS	
Examiner Initials*	Cite No.	Document Number  Number-Kind Code <sup>2 (# Innom)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
MR	1	<sup>US-</sup> 4,907,132	03-06-1990	Parker	
	2	<sup>US-</sup> 5,312,569	05-17-1994	Mezei	
	3	<sup>US-</sup> 5,312,570	05-17-1994	Halter	
TR	4	<sup>US-</sup> 5,499,912	03-12-1996	Mezei	
		US-			
		UŞ-			
		US-			
	1	US-			
	1	US-			
			EODEIGN BATE	NT DOCUMENTS	•
			- VIVEIOIA CATE	TI DOCUMENTO	

	FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	П			
		Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (if known)	MM-DD-YYYY		Or Relevant Figures Appear	<b>™</b>			
- /						Г			
/									
/									

Examiner Signature	42	NO.	Date Considered	2/	4/	
	000	7 Cur		1.2/	(_/_ '	2

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant 'Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Mind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English language Translation is attached.

This collection of Information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patenta, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Sheet

af

#### RECEIVED CENTRAL PAY CENTER

OCT 13 2005

PTO/S8/068 (07-05)

Under the Paperwork Rodyction Act of 1986, no persons at	U.S. Patent a required to respond to a collection	Approved for use trush of the Approved for use the Approved for use the Approved for the Ap
utstitute for form 1449/PTO	Application Number	10/798,830
NFORMATION DISCLOSURE	Fliing Date	March 9, 2004
STATEMENT BY APPLICANT	First Named Inventor	Roger F. Buelow II
	Art Unit	
(Use as many shouts as necessary)	Examiner Name	Rude

Attorney Docket Number

2508

NON PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cits No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), the of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>				
SA	1	(Atty. Docket # 2507) Specification and drawings for US Patent Application SN 10/797,383, filed 10-Mar-04,					
	1	for Side-Light Extraction by Light Pipe-Surface Alteration by Chris H. Jenson, John M. Davenport, Roger F. Buelow II, and Brian Doucet.					
1	1	This application is copending with the present application and is assigned, or subject to assignment, to the same assignee as the present application.					
	2	(Atty. Docket # 2510) Specification and drawings for US Patent Application SN 10/797,761, filed 10-Mar-04,					
	2	for Light Pipe with Side Light Extraction by Roger F. Buelow II, Chris H. Jenson, and John M. Davenport.					
1	2	This application is copending with the present application and is assigned, or subject to assignment, to the same assignee as the present application.					
	3 ·	(Atty. Docket # 2568) Specification and drawings for US Patent Application SN 10/108,279, filed 18-Apr-05,					
	3	for Efficient Luminaire with Directional Side-Light Extraction by William J. Cassarly, Thomas L.R. Davenport, John M. Davenport, and Chris H. Jenson.					
AK	3	This application is copending with the present application and is assigned, or subject to assignment, to the same assignee as the present application.					

	1/20	Date	9/16//
Examiner	140	Considered	3/4/6
Signature	// Custe	Considered	
i Signature i			- 10 - 10 - 10 - 10 - 10 - 10 - 10 - 10

"EXAMINER: white it reference considered, whether or not citation is in conformance with MPEP 609. Draw line through clastion if not in conformation of the form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique clistion designation number (optional). 2 Applicant is to place a check mark here it English language Translation is utilached.

This collection of information is required by 37 CFR 1.98. This information is required to pitation or retain a benefit by the public which is to file (and by the USPTO This collection is entirely as the public which is to file (and by the USPTO This collection is entirely as the public which is to file (and by the USPTO Time will vary depanding upon the individual case. Any comments on the gathering, encapture, and submiting the completed application form to the USPTO. Time will vary depanding upon the individual case. Any comments on the gathering, encapture to complete this term and/or suppressions for reducing this burden, should be sent to the Caluf Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.